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Receipt

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PATENTS, TRADEMARKS, COPYRIGHTS & UNFAIR COMPETITION

October 31, 2006

Commissioner For Patents  
Office of Initial Patent Examination  
Customer Service Center  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Our File: REGIM 3.3-040  
Appln. No. 10/511,565  
Filing Date: August 3, 2006  
Group Art Unit: 2872

Dear Sir:

We are enclosing herewith copies of the filing receipt, executed Declaration and Application Data Sheet for the above-identified patent application.

Please note that the third-named Applicant should read --Philippe Yvernault--,  
not "Yvemault."

Kindly issue a corrected filing receipt for the above-identified application as soon  
as possible.

Sincerely yours,

LERNER, DAVID, LITTENBERG,  
KRUMHOLZ & MENTLIK, LLP

ARNOLD H. KRUMHOLZ  
Reg. No. 25,428

AHK/ls  
Enclosures



## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/511,565	08/03/2006	2872	1198	REGIM 3.3-040	8	59	1

CONFIRMATION NO. 4434

000530  
 LERNER, DAVID, LITTENBERG,  
 KRUMHOLZ & MENTLIK  
 600 SOUTH AVENUE WEST  
 WESTFIELD, NJ 07090

## FILING RECEIPT



\*OC000000020913384\*

Date Mailed: 10/25/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Alain Mugnier, Begard, FRANCE;  
 Rachelle Le Roux, Pleumeur-Gautier, FRANCE;  
 Philippe Yvemault, Lannion, FRANCE;  
 David Pureur, Perros-Guirec, FRANCE;

## Assignment For Published Patent Application

Highwave Optical Technologies, Lannion, FRANCE

Power of Attorney: The patent practitioners associated with Customer Number 000530.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/FR03/01197 04/15/2003

## Foreign Applications

FRANCE 02/04821 04/17/2002

Projected Publication Date: 01/25/2007

LDLK &M

Non-Publication Request: No

OCT 27 2006

Early Publication Request: No

RECEIVED

\*\*SMALL ENTITY\*\*

**Title**

Method for production of a tunable optical filter

**Preliminary Class**

359

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Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

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Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

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### Application Data Sheet

#### **Application Information**

Application Type::	Regular
Subject Matter::	Utility
Suggested Group Art Unit::	N/A
CD-ROM or CD-R?::	None
Sequence submission?::	None
Computer Readable Form (CRF)?::	No
Title::	METHOD FOR PRODUCTION OF A TUNABLE OPTICAL FILTER REGIM 3.3-040
Attorney Docket Number::	
Request for Early Publication?::	No
Request for Non-Publication?::	No
Suggested Drawing Figure::	1A
Total Drawing Sheets::	8
Small Entity?::	Yes
Petition included?::	No
Secrecy Order in Parent Appl.?::	No

#### **Applicant Information**

Applicant Authority Type::	Inventor
Primary Citizenship Country::	France
Status::	Full Capacity
Given Name::	Alain
Family Name::	Mugnier
City of Residence::	Begard
Country of Residence::	France
Street of mailing address::	17, rue de la Gare
City of mailing address::	Begard
Country of mailing address::	France
Postal or Zip Code of mailing address::	F-22140

**Applicant Authority Type::** Inventor  
**Primary Citizenship Country::** France  
**Status::** Full Capacity  
**Given Name::** Rachelle  
**Family Name::** Leroux  
**City of Residence::** Pleumeur-Gautier  
**Country of Residence::** France  
**Street of mailing address::** Nº 15, Bel Air  
**City of mailing address::** Pleumeur-Gautier  
**Country of mailing address::** France  
**Postal or Zip Code of mailing address::** F-22740

**Applicant Authority Type::** Inventor  
**Primary Citizenship Country::** France  
**Status::** Full Capacity  
**Given Name::** Philippe  
**Family Name::** Yvernault  
**City of Residence::** Lannion  
**Country of Residence::** France  
**Street of mailing address::** 3, rue Jeanne d'Arc  
**City of mailing address::** Lannion  
**Country of mailing address::** France  
**Postal or Zip Code of mailing address::** F-22300

**Applicant Authority Type::** Inventor  
**Primary Citizenship Country::** France  
**Status::** Full Capacity  
**Given Name::** David  
**Family Name::** Pureur  
**City of Residence::** Perros-Guirec  
**Country of Residence::** France

Street of mailing address:: 117, boulevard de la Corniche  
City of mailing address:: Perros-Guirec  
Country of mailing address:: France  
Postal or Zip Code of mailing address:: F-22700

#### **Correspondence Information**

Correspondence Customer Number:: 000530

#### **Representative Information**

Representative Customer Number:: 000530

#### **Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of	PCT/FR03/01197	04/15/03

#### **Foreign Priority Information**

Country::	Application number::	Filing Date::	Priority Claimed::
France	02/04821	04/17/02	Yes

#### **Assignee Information**

Assignee name:: Highwave Optical Technologies  
Street of mailing address:: Espace Pégase,  
City of mailing address:: 11, rue de Broglie  
Country of mailing address:: Lannion  
Postal or Zip Code of mailing address:: France  
Postal or Zip Code of mailing address:: F-22300



Please type a plus sign (+) inside this box.

PTO/SB/01 (03-01)

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

Declaration Submitted with Initial Filing       Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required) OR

Attorney Docket Number	REGIM 3.3-040
First Named Inventor	Alain Mugnier
<b>COMPLETE IF KNOWN</b>	
Application Number	10/511,565
Filing Date	October 15, 2004
Group Art Unit	N/A
Examiner Name	Not Yet Assigned

**As a below named inventor, I hereby declare that:**

**My residence, mailing address, and citizenship are as stated below next to my name.**

I believe I am an original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

# METHOD FOR PRODUCTION OF A TUNABLE OPTICAL FILTER

Title of the Invention

the specification of which

Is attached here

OR

**x** was filed on (MM/DD/YYYY) **04/15/2003** as United States Application Number or PCT International

Application No. PCT/FR03/01197 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365 (a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or of any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
02/04821	FR	04/17/2002	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

Please type a plus sign (+) inside this box →

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## DECLARATION — Utility or Design Patent Application

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Customer Number 000590

Direct all correspondence to:	<input checked="" type="checkbox"/> Customer Number or Bar Code Label	000530	OR <input type="checkbox"/> Correspondence address below
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Name \_\_\_\_\_

Address \_\_\_\_\_

City _____	State _____	ZIP _____
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Country _____	Telephone _____	Fax _____
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**  A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Alain	Family Name or Surname	Mugnier
---	-------	---------------------------	---------

Inventor's Signature		Date	15-12-04
-------------------------	--	------	----------

Residence: City	Begard	State	France	Citizenship	France
-----------------	--------	-------	--------	-------------	--------

Mailing Address:	17, rue de la Gare				
City	Begard	State	ZIP	Country	France

**NAME OF SECOND INVENTOR:**  A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Rachelle	Family Name or Surname	ROUX	Terence
---	----------	---------------------------	------	---------

Inventor's Signature		Date	14-07-2006
-------------------------	--	------	------------

Residence: City	Pleumeur-Gautier	State	Country	Citizenship	France
-----------------	------------------	-------	---------	-------------	--------

Mailing Address:	N° 15, Bel Air				
City	Pleumeur-Gautier	State	ZIP	Country	France

Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



PTO/SB/02A (08-04)

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## DECLARATION

### ADDITIONAL INVENTOR(S) Supplemental Sheet

Page 1 of 1

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Philippe		Family Name or Surname Yvermault	
Inventor's Signature <i>[Signature]</i>			Date 20/12/2004
Residence: City Lannion	State	Country France	Citizenship France
Mailing Address: 3, rue Jeanne d'Arc			
City Lannion	State	Zip F-22300	Country France
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) David		Family Name or Surname Purleur	
Inventor's Signature <i>[Signature]</i>			Date 15/12/2004
Residence: City Perros-Guirec	State	Country France	Citizenship France
Mailing Address: 117, boulevard de la Corniche			
City Perros-Guirec	State	Zip F-22700	Country France
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature			Date
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature			Date
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country